



EXPRESS MAIL CERTIFICATE

Date \_\_\_\_\_ Label No. \_\_\_\_\_  
I hereby certify that, on the date indicated above, this paper or  
fee was deposited with the U.S. Postal Service & that it was  
addressed for delivery to the Assistant Commissioner for  
Patents, Washington, DC 20231 by "Express Mail Post Office to  
Addressee" service.

Name (Print) \_\_\_\_\_

Signature \_\_\_\_\_

Customer No.: \_\_\_\_\_



07278

PATENT TRADEMARK OFFICE

Docket No.: 3620/1F311US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Stephen O'BRIEN

Serial No.: 09/934,283

Filed: August 21, 2001

For: IMPROVED STEPPED ETALON

EXPRESS MAIL CERTIFICATE

Date 11/20/01 Label No. 4670669646-US  
I hereby certify that, on the date indicated above, this paper or  
fee was deposited with the U.S. Postal Service & that it was  
addressed for delivery to the Assistant Commissioner for  
Patents & Trademarks, 2900 Crystal Drive, Arlington, VA 22202-3513  
by "Express Mail Post Office to Addressee" service.

D. Perez  
Name (Print)

D. Perez  
Signature

RECEIVED

FEB 21 2002

TC 1700

INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of  
Patents and Trademarks  
Washington, DC 20231

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is a  
copy of Form PTO-1449 and copies of the documents listed thereon.

In accordance with MPEP Sections 609 and 707.05(b), it is requested

11-21-01

2881

#4

2-26-02

PLEASE CHARGE ANY DEFICIENCY UP TO \$300.00 OR  
CREDIT ANY EXCESS IN THE FEES DUE WITH THIS  
DOCUMENT TO OUR DEPOSIT ACCOUNT NO. 501735

Patents

RECEIVED

NOV 26 2001  
MAIL ROOM

that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

This submission is filed within three months of the filing of the application.

The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

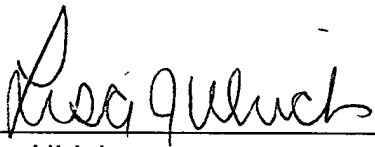
It is believed that no fee is due. However, if the Commissioner

determines that a fee is due, the Commissioner is hereby authorized to charge the above deposit account for any deficiency.

Early and favorable consideration is earnestly solicited.

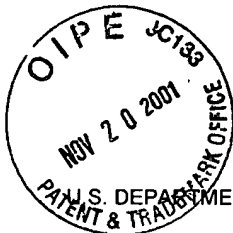
Respectfully submitted,

Dated: November 20, 2001

A handwritten signature in black ink, appearing to read "Lisa Ulrich", is written over a horizontal line.

Lisa Ulrich  
Registration No. 45,168  
Attorney for Applicant

DARBY & DARBY  
805 Third Avenue  
New York, NY 10022  
(212) 527-7700



U.S. DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

RECEIVED  
SHEET 1 OF 1  
(REV 7-80)  
NOV 26 2001  
TECHNICAL ROOM**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 3620/1F311US1 SERIAL NO: 09/934,283  
APPLICANT: Stephen O'BRIEN FILING DATE: August 21, 2001

**U.S. PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>FILING DATE</u>
-------------------------------	----------------------------	-------------	-------------	--------------	-----------------	--------------------

**FOREIGN PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>TRANSLATION YES NO</u>
-------------------------------	----------------------------	-------------	----------------	--------------	-----------------	-------------------------------

**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**

\*EXAMINER  
INITIALS

1. L.N. Hadley and D.M. Dennison, "Reflection and Transission Interference Filters", *Journal of the Optical Society of America*, Volume 37, Numbers 1-12, 1947, pages 451-465;
2. A.F. Turner and O.A. ULLRICH, "Continuously Variable Interference Filters," *Journal of the Optical Society of America*, Volume 38, Numbers 1-12, 1948, page 662.

EXAMINER: \_\_\_\_\_

DATE CONSIDERED: \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.